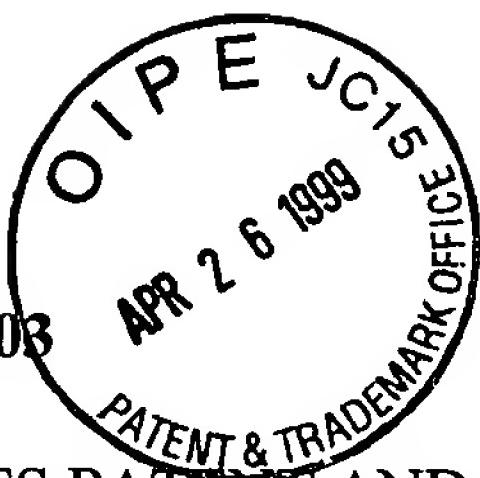


ATTORNEY DOCKET NO: S1383/7003



Q4 1644

RECEIVED

APR 28 1999

MATRIX-CUSTOMER  
SERVICE CENTER

#5  
090  
5/1/99

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Richard S. Blumberg et al.  
Serial No: 09/122,144  
Filed: July 24, 1998  
For: RECEPTOR SPECIFIC TRANSEPITHELIAL TRANSPORT OF  
THERAPEUTICS  
Examiner: T. Cunningham  
Art Unit: 1644  
Batch No:

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Assistant Commissioner for Patents, Washington, D.C. 20231, on the 23rd day of April, 1999.

*Adele E. Stone*  
Adele E. Stone

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**TRANSMITTAL**

Transmitted herewith are the following documents:

- Statement Filed Pursuant to the Duty of Disclosure Under 37 CFR §§1.56,  
1.97 AND 1.98
- PTO 1449 Form (Modified) and Copy of Cited References
- Certificate of Mailing
- Return Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617)720-3500, Boston, Massachusetts.

If any fee is required, please charge to the account of the undersigned, Deposit Account No. 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,

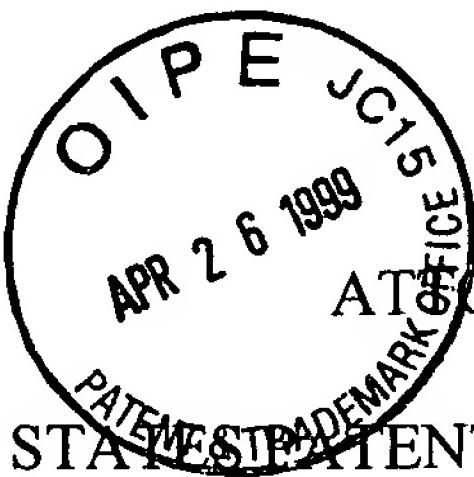
By: *Helen Lockhart*

Helen C. Lockhart  
Registration No. 39,248  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210  
Tel. (617)720-3500

Docket No. S1383/7003

Dated: April 23, 1999

ND



Paper 5

ATTORNEY DOCKET NO: S1383/7003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Richard S. Blumberg et al.  
Serial No: 09/122,144  
Filed: July 24, 1998  
For: RECEPTOR SPECIFIC TRANSEPITHELIAL TRANSPORT OF  
THERAPEUTICS  
Examiner: T. Cunningham  
Art Unit: 1644  
Batch No:

---

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to Assistant Commissioner for Patents, Washington, D.C. 20231, on the 23rd day of April, 1999.

Adele E. Stone  
Adele E. Stone

---

Assistant Commissioner for Patents  
Washington, D.C. 20231

STATEMENT FILED PURSUANT TO THE DUTY OF  
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed before the mailing date of a first Office Action on the merits in the above-identified case. No fee or certification is required.

PART II - Information Cited

The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified). The order of presentation of the references should not be construed as an indication of the importance of the references. The applicant hereby makes

the following additional information of record in the above-identified application: Applicant has filed continuing applications, U.S. Serial No. 09/237,327, filed January 26, 1999, which is a CIP of U.S. Serial No. 09/122,144, filed July 24, 1998, which is a CIP of U.S. Serial No. 08/899,856, filed on July 24, 1997, which is a CIP of U.S. Serial No. 08/578, 171, filed on December 29, 1995 which is a CIP of U.S. Serial No. 08/374,159, filed on January 17, 1995 (all pending).

Applicant also makes of record a copy of a Supplemental International Search Report received in connection with related European Application No. 96903522.9.

Applicant also makes of record a copy of an International PCT Application received in related PCT Application No. WO99/04813.

### PART III Remarks

A copy of each of the above-identified information is enclosed unless otherwise indicated on the attached form PTO-1449 (modified). It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

By submitting this Information Disclosure Statement, the Applicant makes no representation

that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,

By: Helen C. Lockhart

Helen C. Lockhart  
Registration No. 39,248  
Wolf, Greenfield & Sacks, P.C.  
600 Atlantic Avenue  
Boston, MA 02210  
Tel. (617)720-3500

Docket No. **S1383/7003**

Dated: April 23, 1999

**NDD**